

FORM PTO-1390  
(REV. 10-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

Q121-US4

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/500907

INTERNATIONAL APPLICATION NO.  
PCT/US03/00565INTERNATIONAL FILING DATE  
8 JANUARY 2003PRIORITY DATE CLAIMED  
January 9, 2002

TITLE OF INVENTION

Method And Apparatus For Amplitude Limiting Battery Temperature Spikes

APPLICANT(S) FOR DO/EO/US

QUALLION LLC


Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☒ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Return postcard; Form PTO-2038; Certificate of Express Mail.

Please associate this case with Customer No. 31815.

U.S. APPLICATION NO. <b>107500907</b> INTERNATIONAL APPLICATION NO. <b>PCT/US03/00565</b>		ATTORNEY'S DOCKET NUMBER <b>Q121-US4</b>				
21. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO . . . . . <b>\$1080.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPQ . . . . . <b>\$920.00</b> <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO . . . . . <b>\$770.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) . . . . . <b>\$730.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) . . . . . <b>\$100.00</b> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>		<b>CALCULATIONS PTO USE ONLY</b>          <table style="width: 100%; border: none;"> <tr> <td style="width: 60%; border: none;">\$</td> <td style="width: 20%; border: none; text-align: right;">770.00</td> <td style="width: 20%; border: none;"></td> </tr> </table>		\$	770.00	
\$	770.00					
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).		<table style="width: 100%; border: none;"> <tr> <td style="width: 60%; border: none;">\$</td> <td style="width: 20%; border: none;"></td> <td style="width: 20%; border: none;"></td> </tr> </table>		\$		
\$						
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			
Total claims	37 - 20 =	17	x \$18.00			
Independent claims	2 - 3 =	0	x \$86.00			
			+ \$290.00			
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			\$ 0.00			
<b>TOTAL OF ABOVE CALCULATIONS =</b>			\$			
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.			\$			
<b>SUBTOTAL =</b>			\$			
Processing fee of <b>\$130.00</b> for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			\$			
<b>TOTAL NATIONAL FEE =</b>			\$			
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property +			\$ 40.00			
<b>TOTAL FEES ENCLOSED =</b>			\$ 1,116.00			
			Amount to be refunded: \$			
			charged: \$			
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. <u>50-0921</u> in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>50-0921</u> . A duplicate copy of this sheet is enclosed. d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.						
<b>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</b>						
SEND ALL CORRESPONDENCE TO: M. Elizabeth Bush, Reg. No. 38,402 Quallion LLC P.O. Box 923127 Sylmar, CA 91392-3127 818-833-2003 (ph) 818-833-2065 (fax)						
			SIGNATURE  M. Elizabeth Bush NAME 38,402 REGISTRATION NUMBER			

10/500907 PATENT  
Docket No.: Q121-US4

DT04 Rec'd PCT/PTO 02 JUL 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
DESIGNATED/ELECTED OFFICE (DO/EO/US)

In Re Application of: H. Tsukamoto et al. :  
(Assigned to Quallion LLC) :

U.S. Application No.: (not yet known) :

International Application No. :  
PCT/US03/00565 :

International Filing Date: 8 January 2003 :

Title: METHOD AND APPARATUS :  
FOR AMPLITUDE LIMITING BATTERY :  
TEMPERATURE SPIKES :

CERTIFICATE OF MAILING VIA EXPRESS MAIL (37 CFR 1.10)

Express Mail No.: EL993198719US

Dated July 2, 2004

Box PCT  
Commissioner for Patents  
Washington, D.C. 20231

I hereby certify that the following attached documents are being deposited with the United States Postal Service for "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box PCT, Commissioner for Patents, Washington, D.C. 20231.

- Transmittal Letter under 35 U.S.C. 371
- Preliminary Amendment
- Information Disclosure Statement Transmittal
- Form PTO-1449 and copies of cited foreign references
- Declaration and Power of Attorney (fully executed)
- Assignment with Recordation Form Cover Sheet
- Form PTO-2038 (Credit Card Payment Form)

July 2, 2004

Date of Deposit

Lawrence Gordon

Name of Person Mailing paper or fee

  
Signature

0/500907  
DT04 Rec'd PCT/PTO 02 JUL 2004

The PTO did not receive the following  
listed item(s) NO POST CARD

BEST AVAILABLE COPY